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PTO/SB/05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032

U S Patent and Trademark Office, U S DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. AME-001  
First Inventor Richard L Gray  
Title "System And Method For Powering Cold Cathode Fluorescent Lighting"  
Express Mail Label No EL683752157US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
- ☒ Applicant Claims small entity status.  
See 37 C.F.R. § 1.27.
- ☒ Specification [Total Pages 40]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed-Sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. § 113) [Total Sheets 12]
  - ☐ Informal ☒ Formal
  - Use Figure 2A for front page of Publication.
- ☒ Oath or Declaration [Total Pages 2]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

- ☐ Application Data Sheet. See 37 C.F.R. § 1.76
- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ Paper
  - ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR §3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS) PTO-1449 ☒ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).  
Applicant must attach form PTO-SB-35 or its equivalent.
- ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 C.F.R. § 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_/

Prior application information: Examiner \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 0 2 2 8 8 8 or ☐ Correspondence address below

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_  
Country \_\_\_\_\_ Phone +1 (408)451-5907 FAX +1 (408)451-5908

Name (Print/Type) Jeanette S. Harms Registration No. (Attorney/Agent) 35,537  
Signature \_\_\_\_\_ Date February 26, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

# FEE TRANSMITTAL for FY 2002

*Patent fees are subject to annual revision.*

**TOTAL AMOUNT OF PAYMENT** (\$ ) 707.00

## Complete if Known

|                        |                   |
|------------------------|-------------------|
| Application Number     | Filed Herewith    |
| Filing Date            | February 26, 2002 |
| First Named Inventor   | Richard L. Gray   |
| Examiner Name          | unknown           |
| Group/Art Unit         | unknown           |
| Attorney Docket Number | AME-001           |

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 50-0574 (Docket No. AME-001)

Deposit Account Name Bever, Hoffman & Harms, LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17  
☒ Applicant claims small entity status. See 37 C.F.R. § 1.27

## 2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Fee Code      | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Paid   |
|---------------------|-----------------|----------------|-----------------|------------------------|--|
| 101                 | 740             | 201            | 370             | Utility filing fee     | <span style="border: 1px solid black; padding: 2px;">370.00</span>       |
| 106                 | 330             | 206            | 165             | Design filing fee      | <span style="border: 1px solid black; padding: 2px;"></span>             |
| 107                 | 510             | 207            | 255             | Plant filing fee       | <span style="border: 1px solid black; padding: 2px;"></span>             |
| 108                 | 740             | 208            | 370             | Reissue filing fee     | <span style="border: 1px solid black; padding: 2px;"></span>             |
| 114                 | 160             | 214            | 80              | Provisional filing fee | <span style="border: 1px solid black; padding: 2px;"></span>             |
| <b>SUBTOTAL (1)</b> |                 |                |                 |                        | <span style="border: 1px solid black; padding: 2px;">(\$ ) 370.00</span> |

### 2. EXTRA CLAIM FEES

| Total Claims   | Extra Claims   | Fee from below | Fee Paid |
|--|--|----------------|----------|
| <span style="border: 1px solid black; padding: 2px;">39</span>                   | <span style="border: 1px solid black; padding: 2px;">-20** = 19</span> x <span style="border: 1px solid black; padding: 2px;">9.00</span> = <span style="border: 1px solid black; padding: 2px;">171.00</span> |                |          |
| Independent Claims <span style="border: 1px solid black; padding: 2px;">6</span> | <span style="border: 1px solid black; padding: 2px;">-3** = 3</span> x <span style="border: 1px solid black; padding: 2px;">42.00</span> = <span style="border: 1px solid black; padding: 2px;">126.00</span>  |                |          |
| Multiple Dependent   | <span style="border: 1px solid black; padding: 2px;">140.00</span> = <span style="border: 1px solid black; padding: 2px;">-0-</span>   |                |          |

*\*\*or number previously paid, if greater; For Reissues, see below*

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description   |
|----------------|-----------------|----------------|-----------------|---|
| 103            | 18              | 203            | 9               | Claims in excess of 20                                    |
| 102            | 84              | 202            | 42              | Independent claims in excess of 3                         |
| 104            | 280             | 204            | 140             | Multiple dependent claim, if not paid                     |
| 109            | 84              | 209            | 42              | **Reissue independent claims over original patent         |
| 110            | 18              | 210            | 9               | **Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$ ) 297.00

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

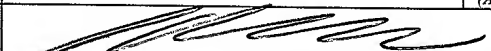
| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid  |
|----------------|-----------------|----------------|-----------------|--|---|
| 105            | 130             | 205            | 65              | Surcharge - late filing fee or oath  | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 127            | 50              | 227            | 25              | Surcharge - late provisional filing fee or cover sheet                     | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 139            | 130             | 139            | 130             | Non-English specification  | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 147            | 2,520           | 147            | 2,520           | For filing a request for <i>ex parte</i> reexamination                     | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 112            | 920*            | 112            | 920*            | Requesting publication of SIR prior to Examiner action                     | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 113            | 1,840*          | 113            | 1,840*          | Requesting publication of SIR after Examiner action                        | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 115            | 110             | 215            | 55              | Extension for replay within first month                                    | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 116            | 400             | 216            | 200             | Extension for reply within second month                                    | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 117            | 920             | 217            | 460             | Extension for reply within third month                                     | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 118            | 1440            | 218            | 720             | Extension for reply within fourth month                                    | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 128            | 1,960           | 228            | 980             | Extension for reply within fifth month                                     | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 119            | 320             | 219            | 160             | Notice of Appeal   | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 120            | 320             | 220            | 160             | Filing a brief in support of an appeal                                     | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 121            | 280             | 221            | 140             | Request for oral hearing   | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 138            | 1,510           | 138            | 1,510           | Petition to institute a public use proceeding                              | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 140            | 110             | 240            | 55              | Petition to revive - unavoidable   | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 141            | 1,280           | 241            | 640             | Petition to revive - unintentional   | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 142            | 1,280           | 242            | 640             | Utility issue fee (or reissue)   | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 143            | 460             | 243            | 230             | Design issue fee   | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 144            | 620             | 244            | 310             | Plant issue fee  | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 122            | 130             | 122            | 130             | Petitions to the Commissioner  | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 123            | 50              | 123            | 50              | Petitions related to provisional applications                              | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 126            | 180             | 126            | 180             | Submission of Information Disclosure Stmt                                  | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 581            | 40              | 581            | 40              | Recording each patent assignment per property (times number of properties) | <span style="border: 1px solid black; padding: 2px;">40.00</span> |
| 146            | 740             | 246            | 370             | Filing a submission after final rejection (37 CFR 1.129(a))                | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 149            | 740             | 249            | 370             | For each additional invention to be examined (37 CFR 1.129(b))             | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 179            | 740             | 279            | 370             | Request for Continued Examination (RCE)                                    | <span style="border: 1px solid black; padding: 2px;"></span>      |
| 169            | 900             | 169            | 900             | Request for expedited examination of a design application                  | <span style="border: 1px solid black; padding: 2px;"></span>      |

Other fee (Specify)

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 40.00

### SUBMITTED BY

|                   |   |                                   |                |                          |                   |
|-------------------|---|-----------------------------------|----------------|--------------------------|-------------------|
| Name (Print/Type) | Jeanette S. Harms   | Registration No. (Attorney/Agent) | 35,537         | Complete (if applicable) |                   |
| Signature         |  | Telephone                         | (408) 451-5907 | Date                     | February 26, 2002 |